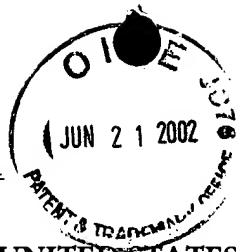


Docket No.: FSU-001



PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of

Susan D. ALLEN

Serial No.: 09/704,733

Filed: November 3, 2000

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: Group Art Unit: 2874
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For: OPTICAL FIBERS OR OTHER WAVEGUIDES HAVING A PLURALITY OF TAP
STRUCTURES FOR FORMING ILLUMINATION PATTERNS AND METHOD OF
MAKING THE SAME

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JUN 24 2002
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#5
D. Sax
7/2/02

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the references listed on the attached PTO-1449. One copy of each reference is attached. It is respectfully requested that the information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the indicated date. Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered. This statement should not be construed as a representation that a search has been made, that information cited in the statement is considered to be and/or is material to patentability, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that was cited or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. §120. 1138 OG 37, 38 (May 19, 1992).

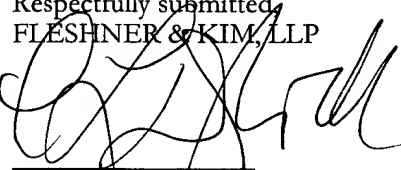
X 1. This Information Disclosure Statement is being filed (i) within three months of the U.S. filing date of a U.S. application other than a CPA continued prosecution application under §1.53(d) OR (ii) within three months of the date of entry of the national stage as set forth in §1.491 in an international application OR (iii) before the mailing date of a first Office Action on the merits. No certification or fee is required. 37 C.F.R. §1.97(b).

— 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection OR Notice of Allowance OR an action that otherwise closes prosecution in the application. 37 C.F.R. §1.97(c).

— a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in

- b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2).
- c. Attached is our check no. _____ in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). Please credit or debit Deposit Account No. 16-0607 as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached.
- 3. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection OR Notice of Allowance OR an action that otherwise closes prosecution in the application, but on or before payment of the Issue Fee. Attached is our check no. ____ in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). Please credit or debit Deposit Account No. 16-0607 as needed to ensure consideration of the disclosed information. Two duplicate copies of this paper are attached. 37 C.F.R. §1.97(d).
- a. I hereby state that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1).
- b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. §1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(2).
- X 4. References EE, FF, HH, KK and NN are unavailable at the present time. Applicant's representative will submit them to the Patent Office as soon as they become available.
- X 5. To the extent necessary, a petition for an extension of time under 37 C.F.R. 1.136 is hereby made. Please charge any shortage in fees due in connection with the filing of this paper, including extension of time fees, to Deposit Account 16-0607 and please credit any excess fees to such deposit account.

Respectfully submitted,
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MLF:CLD/kam

LIST OF PRIOR ART CITED BY APPLICANT (PTO-1449)				ATTY. DOCKET NO. FSU-001		APPLN. SERIAL NO. 09/704,733	
				APPLICANT(S) Susan D. ALLEN			
				FILING DATE November 3, 2000		GROUP 2874	
U.S. PATENT DOCUMENTS							
EXAMINER'S INITIALS	*PATENT NO.	*ISSUE DATE	*INVENTOR NAME	CLASS	SUBCLASS	FILING DATE	
	5,500,913	03-19-96	Allen et al.				
FOREIGN PATENT DOCUMENTS							
EXAMINER'S INITIALS	PATENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	Translation	
						Yes	No
OTHER ART (Including Author, Title, Date, Pertinent Pages, Publisher, Place of Publication, Etc.)							
	AA	G.D. Goins, N.C. Yorio, and H. Vivenzio, Performance of salad-type plants using lighting and nutrient delivery concepts intended for spaceflight, SAE Technical Paper Series, SAE Transactions-Journal of Aerospace, Vol. 107, p. 284 (1998)					
	BB	G.D. Goins, N.C. Yorio, M.M. Sanwo and C.S. Brown, Life cycle experiments with Arabidopsis grown under red light-emitting diodes (LEDs), Life Support & Biosphere Science, Vol. 5, p. 143 (1998)					
	CC	G.D. Goins, N.C. Yorio, M.M. Sanwo and C.S. Brown, Photomorphogenesis, photosynthesis and seed yield of wheat plants grown under red light-emitting diodes (LEDs) with and without supplemental blue lighting, Journal of Experimental Botany, Vol. 48, No. 312, p. 1407 (1997).					
	DD	K. Imen, C.H. Lee, Y.Y. Yang, S.D. Allen and A. Ghosh, Laser-Fabricated Fiber-Optic Taps, Optics Lett., Vol. 15, No. 17, p. 950 (1990)					
	EE	C.H. Lee and S.D. Allen, Laser Fabricated Fiber Optic Taps and Applications to Sensors, Electrochemical Society, New Orleans, LA (11/1993)					
11/2/02	FF	C.H. Lee, K. Imen, A. Ghosh, and S.D. Allen, Laser Fabricated Taps on Single Mode Optical Fibers, Proceeding of the Government Microcircuit Applications Conference, 311 (1993)					
	GG	B.S. Agrawalla, B.T. Dai, and S.D. Allen, Laser Ablative Chemical Etching of SiO ₂ , J. Vac. Sci. Tech., Vol. B5(2), p. 601 (1987)					
6/12/03	HH	S.D. Allen, Final Technical Report, Eastman Kodak Company, Rochester, New York (1987)					
	II	B.T. Dai, Ph.D. Dissertation, Laser Ablative Chemical Etching of Silicon Dioxide, University of Southern California, Los Angeles, California (1987)					
	JJ	K.C. Hsiao, Ph.D. Dissertation, A Study on CW CO ₂ Laser Etching of Silicate Glasses, University of Southern California, Los Angeles, California (1989)					
11/18/02	KK	A.K. Ghosh, S.D. Allen, and P. Paparao, The Arithmetic Fourier Transform Calculation Using Fiber Optical Parallel Processors, J. Opt. Soc. Amer. A7, 701 (1990)					
	LL	P. Paparao, A. Ghosh, S.D. Allen, Design and Performance Optimization of Fiber Optic Adaptive Filters, Applied Optics, Vol. 30, No. 14, p. 1826 (1991)					
	MM	Conference on Lasers and Electro-Optics (CLEO), Baltimore, MD, May 1999, papers CM14 and CM15					
	NN	K. Patil, M.S. thesis, Indian Institute of Technology, Kanpur, (1995)					
EXAMINER				DATE CONSIDERED 8/14/02			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.